

PTO/SB/08A (08-00)

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| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i> | | | | <i>Complete if Known</i> | |
| | | | | Application Number | 10/628,136 |
| | | | | Filing Date | July 28, 2003 |
| | | | | First Named Inventor | Ben HITT |
| | | | | Group Art Unit | 1631 |
| | | | | Examiner Name | |
| Sheet | 1 | of | 3 | Attorney Docket Number | CORR-004/02US |

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document | Date of Publication of Cited Document MM-DD-YYYY | T ⁶ |
|--------------------|-----------------------|-------------------------|---------------------|--------------------------------------|---|---|----------------|
| | | Office ³ | Number ⁴ | Kind Code ⁵ (if known) | | | |
| | 11 | | WO 00/55628 | A1 | Oxford Glycosciences | 09-21-2000 | |
| | 12 | | WO 99/58972 | A1 | Tsipouras, Petros | 11-18-1999 | |
| | 13 | | WO 00/49410 | A3 | The Government Of the United States of America as represented by the Secretary of the Department of Health and Human Services | 08-24-2000 | |
| | 14 | | WO 99/47925 | A2 | Oxford Glycosciences | 09-23-1999 | |
| | 15 | | WO 99/41612 | | Oxford Glycosciences | 08-19-1999 | |
| | 16 | | WO 93/05478 | A1 | Becton, Dickinson & Company | 03-18-1993 | |

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| Examiner Signature | | Date Considered | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number.

² See attached Kinds of U.S. Patent Documents.

³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible.

⁶ Applicant is to place a check mark here if English language Translation is attached.



Please type a plus sign (+) inside this box → ☐

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| | | | | Filing Date | July 28, 2003 |
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| | | | | Group Art Unit | 1631 |
| Examiner Name | | | | | |
| Sheet | 2 | Of | 3 | Attorney Docket Number | CORR-004/02US |

| OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS | | | | |
|---|-----------------------|---|--|----------------|
| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | | T ² |
| | 17 ✓ | Loging, TW et al., "Identifying Potential Tumor Markers and Antigens by Database Mining and Rapid Expression Screening," Genome Research, 10(9):1393-1402 (September 2000) | | |
| | 18 ✓ | Krishnamurthy, T. et al. "Detection of Pathogenic and Non-Pathogenic Bacteria by Matrix-assisted Laser Desorption/Ionization Time-of-flight Mass Spectrometry," Rapid Comms. in Mass Spectrometry, Vol 10, 883-888 (1996) | | |
| | 19 ✓ | Adam, B-L et al., "Serum Protein Fingerprinting Coupled with a Pattern-matching Algorithm Distinguishes Prostate Cancer from Benign Prostate Hyperplasia and Healthy Men," Cancer Research 62, 3609-3614 (July 1, 2002). | | |
| | 20 ✓ | Li, J. et al. "Proteomics and Bioinformatics Approaches for Identification of Serum Biomarkers to Detect Breast Cancer," Clinical Chemistry 48:8, 1296-1304 (2002). | | |
| | 21 ✓ | Petricion III, E.F. et al., "Use of proteomic patterns in serum to identify ovarian cancer," The Lancet, Vol. 359, 572-577 (February 16, 2002). | | |
| | 22 ✓ | Brown, M.P.S. et al. "Knowledge-based analysis of microarray gene expression data by using support vector machines," PNAS Vol. 97, No. 1, pp. 262-267 (January 4, 2000). | | |
| | 23 ✓ | Kiem, H. & Phuc, D, "Using Rough Genetic and Kohonen's Neural Network for Conceptual Cluster Discovery in Data Mining," New Directions in Rough Sets, Data Mining and Granular-Soft Computing. International Workshop, RSFDGRC Proceedings, pp. 448-452 (November 9, 1999). | | |
| | 24 ✓ | Chang, E.I et al., "Using Genetic Algorithms to Select and Create Features for Pattern Classification," IJCNN International Joint Conf. on Neural Networks, pp. III-747 to III-752 (January 8, 1991). | | |
| | 25 ✓ | Rosty C. et al., "Identification of Hepatocarcinoma-Intestine-Pancreas/Pancreatitis-associated Protein 1 as a Biomarker for Pancreatic Ductal Adenocarcinoma by Protein Biochip Technology," Cancer Research 62:1868-75 (March 15, 2002). | | |
| | 26 ✓ | Claydon, M.A., "The rapid identification of intact microorganisms using mass spectrometry," Nature Biotech. 14:1584-1586 (November 1996). | | |
| | 27 ✓ | Bittl, J.A., "From Confusion to Clarity: Direct Thrombin Inhibitors for Patients with Heparin-Induced Thrombocytopenia," Cath. and Cardio. Interventions 52:473-475 (2001). | | |

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² Applicant is to place a check mark here if English language Translation attached.

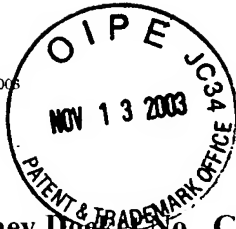


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| Sheet | 3 | Of | 3 | Attorney Docket Number | CORR-004/02US |

| OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS | | | | |
|---|-----------------------|---|----------------|--|
| Examiner Initials* | Cite No. ² | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² | |
| | 28 | Paweletz, C.P., "Rapid Protein Display Profiling of Cancer Progression Directly from Human Tissue Using a Protein Biochip," Drug Development Research 49:34-42 (2000). | | |
| | 29 | Ciphergen European Update. 1:1-4 (2001). | | |
| | 30 | Kohonen, T. "Self Organizing Maps (Springer 2001), pp. 1-70. | | |
| | 31 | Jun Zhang, <i>Dynamics and Formation of Self-Organizing Maps</i> , in "Self-Organizing Map Formation: Foundations of Neural Computation," pp. 55-67 (Klaus Obermayer & Terrence J. Sejnowski eds.) | | |
| | 32 | Kohonen, T. "Self-Organization and Associative Memory" (Springer 1988), pp. 30-67. | | |
| | 33 | Holland, J.H., "Adaption in Natural and Artificial Systems: An Introductory Analysis with Applications to Biology, Control, and Artificial Intelligence" (MIT Press 2001), pp. 1-31; 89-120. | | |
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Attorney Docket No. CORR-004/02US

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Ben A. HITT et al.

Serial No.: 10/628,136

Examiner: *Unassigned*

Confirmation No.: 4523

Art Unit: 1631

Filed: July 28, 2003

For: **QUALITY ASSURANCE/QUALITY CONTROL FOR ELECTROSPRAY
IONIZATION PROCESSES**

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2011 South Clark Place
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INFORMATION DISCLOSURE STATEMENT TRANSMITTAL

Enclosed is an Information Disclosure Statement and accompanying Form
PTO/SB/08A for the above-identified patent application.

- ☒ In accordance with 37 C.F.R. §1.97(b), no additional fee for submission of the IDS is required.
- ☐ In accordance with 37 C.F.R. §1.97(c), also enclosed is:
- ☐ the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p); or
- ☐ a statement as specified in 37 C.F.R. §1.97(e).
- ☐ In accordance with 37 C.F.R. §1.97(d), a statement as specified in 37 C.F.R. § 1.97(e) and the fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) are also enclosed.
- ☐ Check No. ___ in the amount of \$___ for the total fee is attached.
- ☐ A return receipt postcard is also enclosed.
- ☐ Please charge \$___ to Deposit Account No.50-1283 for the total fee. This paper is being submitted in duplicate.

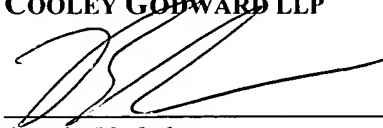
The Commissioner is hereby authorized to charge any appropriate fees under 37 C.F.R. §§1.16, 1.17, and 1.21 that may be required by this paper, and to credit any overpayment, to Deposit Account No. 50-1283.

Dated: 11/13/03

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COOLEY GODWARD LLP

By:



Randy V. Sabett
Reg. No. 43,074



Attorney Docket No. **6888-004/02US**

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of Ben A. HITT et al.

Serial No.: 10/628,136

Examiner: *Unassigned*

Confirmation No.: 4523

Art Unit: 1631

Filed: July 28, 2003

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IONIZATION PROCESSES**

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**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. §1.97(b)**

In accordance with the duty of disclosure set forth in 37 C.F.R. §1.56,

Applicant(s) hereby submits the following information in conformance with 37 C.F.R.

§§1.97 and 1.98.

- ☐ Pursuant to 37 C.F.R. §1.98, a copy of each document cited in the attached Form PTO/SB/08 is enclosed.
- ☐ No copies of the publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98(d) because the publications were previously cited by or submitted to the Office in prior Application Serial No. ___ to which the above-identified application claims priority under 35 U.S.C. §120.
- ☒ No copies of any U.S. patents or U.S. patent application publications listed on the attached Form PTO/SB/08A are being provided pursuant to 37 C.F.R. §1.98 because this application was filed after June 30, 2003.
- ☐ Publication(s) ___ listed on the attached Form PTO/SB/08A were cited in a foreign search or examination report corresponding to ___ application serial no. ___ and mailed on ___.

- ☐ Enclosed is a copy of a non-English publication(s) _____. Pursuant to §609 of the M.P.E.P., Applicant submits the attached foreign search or examination report, which cites such non-English language publication(s).
- ☐ Enclosed is a copy of a non-English publication(s) _____. English language publication ____ (copy enclosed) claims priority from this non-English publication.
- ☐ Enclosed is an explanation of non-English publication(s) ____ for which an English translation is not available.
- ☐ Enclosed is an English translation of non-English publication(s) ____ cited in the attached Form PTO/SB/08A.
- ☒ Enclosed are copies of the following copending U.S. Patent Applications:
 - U.S. Patent Application Serial No. **09/883,196**, filed June 19, 2001, entitled "Heuristic Method of Classification" (Attorney Docket No. CORR-001/01US);
 - U.S. Patent Application Serial No. **09/906,661**, filed July 18, 2001, entitled "A Process for Discriminating Between Biological States Based on Hidden Patterns from Biological Data" (Attorney Docket No. CORR-002/04US);
 - U.S. Patent Application Serial No. **10/628,135**, filed July 28, 2003, entitled "Quality Assurance for High-Throughput Bioassay Methods" (Attorney Docket No. CORR-003/01US); and
 - U.S. Patent Application Serial No. **10/628,137**, filed July 28, 2003, entitled "Quality Assurance/Quality Control for High Throughput Bioassay Process" (Attorney Docket No. CORR-004/01US).

This Information Disclosure Statement is filed within any one of the following time periods:

- ☐ within three months from the filing date of this national application other than a CPA under 37 C.F.R. § 1.53(d);
- ☐ within three months from the date of entry of the national stage as set forth in 37 C.F.R. §1.491 in this international application;
- ☒ before the mailing date of a first office action on the merits; or
- ☐ before the mailing of a first office action after the filing of a request for continued examination under 37 C.F.R. § 1.114.

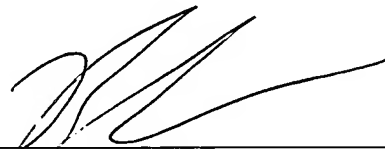
It is respectfully requested that the Examiner consider the above-noted information and return an initialed copy of the attached Form PTO/SB/08A to the undersigned.

Dated:

Respectfully submitted,
COOLEY GODWARD LLP

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